



## *Local Programs Procedures*

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### **LPP 96-03 Local Quality Assurance Programs**

References: LPP 95-07

Effective Date: May 10, 1996

Approved: \_\_\_\_\_

Assistant Program Manager,  
State and Local Project Development

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Local Programs Procedure (LPP) 95-07 started the reengineering of Local Assistance procedures. This LPP continues that process by allowing local agencies to use their own Quality Assurance Program (QAP) for projects off the National Highway System (NHS), without Caltrans' independent assurance sampling and testing.

The procedures described in this LPP will be incorporated into the appropriate chapters of the new Local Assistance Procedures Manual when it is released.

#### **DEFINITIONS:**

*Acceptance Testing* - The testing of materials entering a construction project to verify that the materials, or products, comply with contract specifications.

*Certificate of Compliance* - A certificate signed by the manufacturer of materials stating that the materials involved comply in all respects with the requirements of the specifications.

*Independent Assurance Sampling and Testing* - Periodic testing by a specially trained tester, to verify that acceptance testing is being performed correctly with accurate test equipment.

*Quality Assurance Program* - A sampling and testing program that will provide assurance that the materials and workmanship incorporated in each highway construction project are in reasonably close conformance with the contract specifications. The main elements of a Quality Assurance Program are acceptance testing and independent assurance sampling and testing.

*Source Inspection* - Acceptance testing of manufactured and prefabricated materials at locations other than the job site.

### **CURRENT PROCEDURES:**

Materials testing and sampling for all local federal-aid construction projects must meet the procedures described in Chapter 8 of the Construction Manual and the Quality Assurance Program Manual, both published by Caltrans.

In accordance with these procedures, Caltrans' District Materials Engineer is responsible for independent assurance sampling and testing on local federal-aid construction projects, including the certification of the local agency's acceptance testers.

Acceptance of manufactured and prefabricated structural materials is based on either a Certificate of Compliance and/or source inspection by Caltrans.

LPP 95-07 did not change these procedures.

### **NEW PROCEDURES:**

#### **NHS Projects**

For Federal-aid projects on the NHS, materials testing and sampling shall continue to meet the procedures described above. Caltrans will provide independent assurance sampling and testing and certify laboratory facilities and testers at no expense to the local agencies.

Caltrans will also continue to perform source inspection for those materials that cannot be accepted on the basis of a Certificate of Compliance. The local agency must submit a written request to the District Local Assistance Engineer sufficiently in advance to allow for special processing to cover reimbursement for the State's services.

#### **Non-NHS Projects**

For Federal-aid projects off the National Highway System, local agencies are no longer required to meet the materials testing and sampling requirements described above. Instead, they may use their own Quality Assurance Program (QAP). The only requirement for the local agency's QAP is that it is the same program as they use for their other transportation-related projects constructed without federal-aid funding. Local agencies may, at their option, adopt the procedures for NHS projects, except the following shall apply:

- Caltrans will not certify the local agency's (or their consultants') laboratory or acceptance testers unless the local agency is also administering a project on the NHS at the same time.
- If the local agency's QAP includes Independent Assurance Sampling and Testing as required for NHS projects, Caltrans will not conduct the testing. The local agency will either conduct the testing or contract out with a consultant that meets local agency requirements.
- Acceptance of manufactured and prefabricated structural materials shall be based on either a Certificate of Compliance and/or source inspection by the local agency or a qualified consultant. If the administering agency cannot perform the source inspection and qualified consultants are not available, the agency may request that Caltrans

conduct the inspections on a reimbursed basis. The District Local Assistance Engineer will agree to this work only to the extent that inspectors are available and the work is within the district's reimbursable budget authority. The local agency must make the request sufficiently in advance for the District Local Assistance Engineer to make this determination and to allow for special processing to cover reimbursement for the State's services. Requests received after the "Request for Authorization" has been submitted for the construction phase of the project will not be considered.

Whatever QAP the local agency chooses for projects off the NHS, the program decided upon shall be documented and approved by the Public Works Director. A non-registered Public Works Director must delegate the approval to the City/County Engineer if such individual is appropriately registered. If the City/County Engineer is not registered, the delegation can be made to the highest level engineer in the agency who is. Copies of the approved quality assurance program shall be kept on file and available for State review.

### **Local Agency-State Master Agreement**

An updated Administering Agency-State Master Agreement has been prepared to reflect the new provisions of ISTEA and the reengineering, including these procedures. As workload allows, the Office of Local Programs will initiate the new agreement with all agencies involved in implementation of Federal-aid projects. First priority will be to implement an updated agreement for all new Federal-aid projects and for new phases of current projects. In the interim, program supplements referencing pre-ISTEA Master Agreements will incorporate appropriate special covenants to cover the new procedures.